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Group 2100

PTO/SB/21 (modified)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

101/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office		
TRANSMITTAL FORM			
(To be used for all correspondence during pendency of filed application)			
Total Number of Pages in This Submission	55*	Application Number	09/289,550
Filing Date	April 9, 1999		
First Named Inventor	Richard W. Friesen et al.		
Group Art Unit Number	2164		
Examiner Name	Charles Kyle		
		Attorney Docket Number	31192-03854

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed	<input type="checkbox"/> Issue Fee Transmittal
<input checked="" type="checkbox"/> Return Receipt Postcard	<input checked="" type="checkbox"/> Letter to Chief Draftsperson
<input type="checkbox"/> Response to Notice to File Missing Parts	<input checked="" type="checkbox"/> Formal Drawing(s):
<input type="checkbox"/> Assignment & Recordation Cover Sheet	[10] Sheet(s) of Figure(s) [1-10] AND
<input type="checkbox"/> Declaration	[3] Sheets of redlined Figs 3B, 3C and 4
<input type="checkbox"/> Small Entity Statement	Interferences
<input checked="" type="checkbox"/> Information Disclosure Statement & PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Cited References	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Request for Corrected Filing Receipt	<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Application Data Sheet	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Amendment A: [33] Page(s) <input type="checkbox"/> After Final	<input checked="" type="checkbox"/> Copy of International Search Report
<input type="checkbox"/> Copy of Official Filing Receipt marked in red	<input type="checkbox"/>
<input type="checkbox"/> Revocation and Power of Attorney	<input type="checkbox"/>
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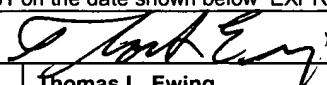
REMARKS: *Total number of pages do not include the pages in the IDS references.

SIGNATURE OF ATTORNEY OR AGENT

Signature:	
Attorney/Reg. No.:	Thomas L. Ewing, Registration No. 34,328
Dated:	September 12, 2001

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below EXPRESS MAIL NO: EL541496441US

Signature:	
Typed or Printed Name:	Thomas L. Ewing
Dated:	September 12, 2001

31192/03854/SF/5056890.1

EXPRESS MAIL NO: EL541496441US

PTO/SB/17 (10-00)(modified)

Approved for use through 09/29/01, OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

002/01 (modified)
Rev. 10/2000U.S. Department of Commerce
Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$1070.00)

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Complete if Known	
Application Number	09/289,550
Filing Date	April 9, 1999
First Named Inventor	Richard W. Friesen et al.
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METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																																																
<p>1. The Commissioner is hereby authorized to:</p> <p><input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.</p> <p><input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.[†]</p> <p><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th></th> <th></th> </tr> <tr> <th>Fee Code/Fee</th> <th>Fee Code/Fee</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr><td>105/\$130</td><td>205/\$65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127/\$50</td><td>227/\$25</td><td>Surcharge-late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>147/\$2,520</td><td>147/\$2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>115/\$110</td><td>215/\$55</td><td>Extension for response within first month[†]</td><td></td></tr> <tr><td>116/\$390</td><td>216/\$195</td><td>Extension for response within second month[†]</td><td></td></tr> <tr><td>117/\$890</td><td>217/\$445</td><td>Extension for response within third month[†]</td><td>890</td></tr> <tr><td>118/\$1,390</td><td>218/\$695</td><td>Extension for response within fourth month[†]</td><td></td></tr> <tr><td>128/\$1,890</td><td>228/\$945</td><td>Extension for response within fifth month[†]</td><td></td></tr> <tr><td>119/\$310</td><td>219/\$155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>141/\$1,240</td><td>241/\$620</td><td>Petition to revive unintentionally abandoned application</td><td></td></tr> <tr><td>142/\$1,240</td><td>242/\$620</td><td>Utility Issue Fee (Or Reissue)</td><td></td></tr> <tr><td>143/\$440</td><td>243/\$220</td><td>Design Issue Fee</td><td></td></tr> <tr><td>122/\$130</td><td>122/\$130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>126/\$180</td><td>126/\$180</td><td>Submission of Information Disclosure Statement</td><td>180</td></tr> <tr><td>179/\$710</td><td>279/\$355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>581/\$40</td><td>581/\$40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146/\$710</td><td>246/\$355</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149/\$710</td><td>249/\$355</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="2"></td><td>Other fee (specify):</td><td></td></tr> <tr><td colspan="2"></td><td>Other fee (specify):</td><td></td></tr> <tr> <td colspan="2"></td> <td>SUBTOTAL (3)</td> <td>(\$1070.00)</td> </tr> <tr> <td colspan="2"> <p>2. 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SUBMITTED BY		Complete (if applicable)	
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Signature		Date	September 12, 2001

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PATENT

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Group 2100

#10
J. Caffer
10-24-01

APPLICANTS: Richard W. Friesen et al.

APPLICATION NO.: 09/289,550

FILING DATE: April 9, 1999

TITLE: **USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM**

EXAMINER: Charles Kyle

GROUP ART UNIT: 2164

ATTY. DKT. NO.: 31192-03854

CERTIFICATE OF EXPRESS MAIL

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By: G. L. Ewing

Thomas L. Ewing, Reg. No. 34,328

COMMISSIONER FOR PATENTS
WASHINGTON, DC. 20231

LETTER TO THE CHIEF DRAFTSPERSON

SIR:

In response to the drawing informalities indicated on the Examiner's Notice Regarding Patent Drawings for the above-entitled patent application, please substitute the enclosed ten (10) sheets of formal drawings containing Figures 1-11 for the fourteen (14) sheets of drawings containing Figures 1-11 previously submitted.

Changes being made are indicated in red ink mark-ups of Figures 3B, 3C, and 4, also enclosed.

Respectfully submitted
RICHARD W. FRIESEN, et al.

Dated: September 12, 2001

By:

G. L. Ewing
Thomas L. Ewing, Reg. No. 34,328
Fenwick & West LLP
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